

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



Applicant(s) : Michael Tari *et al.*

Serial No. : Not Yet Assigned

Express Mail Label No. EL 912 278 649 US

Filed : Concurrently Herewith

Title : Method and System for Re-
questing Prices for Electronic
Trading of Financial Instru-
ments

Assistant Commissioner for Patents
Washington, DC 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the duty of disclosure provisions of 37 C.F.R. § 1.56, there is hereby provided certain information which the Examiner may consider material to the examination of the subject U.S. patent application. No admission is made that the information cited in this Statement is, or is considered to be, material to patentability nor is this Information Disclosure Statement a representation that a search has been made.

Enclosures accompanying this Information Disclosure Statement are:

- (1) Form PTO-1449;
- (2) Copies of publications.

This Information Disclosure Statement is filed under 37 C.F.R. § 1.97(b) before the latter of three months after the U.S. Patent application filing date or the first Office Action on the merits. Accordingly, no fee or certification is required.

The Commissioner is authorized to charge any additional fee required or credit any overpayment for the Information Disclosure Statement to Skadden, Arps, Slate, Meagher & Flom LLP Deposit Account No. 19-2385.

Date: December 11, 2001

Respectfully submitted,
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Enclosures

FORM PTO-1449 (Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S)' INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	ATTY. DOCKET NO. ICOR-004	SERIAL NO. Not Yet Assigned
APPLICANT TARI et al.		
FILING DATE December 11, 2001		GROUP ART UNIT Not Yet Assigned

11017 U.S. PTO
 10/014864
 12/11/01

U.S. PATENT DOCUMENTS

EXAM'R INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	A1	3,573,747	4/6/71	Adams, et al.			
	A2	4,674,044	6/16/87	Kalmus, et al.			
	A3	4,942,616	7/17/90	Linstroth, et al.			
	A4	4,980,826	12/25/90	Wagner			
	A5	5,038,284	8/6/91	Kramer			
	A6	5,077,665	12/31/91	Silverman, et al.			
	A7	5,101,353	3/31/92	Lupien, et al.			
	A8	5,136,501	8/4/92	Silverman			
	A9	5,375,055	12/20/94	Togher, et al.			
	A10	5,724,524	3/3/98	Hunt, et al.			
	A11	5,774,880	6/30/98	Ginsberg			
	A12	5,802,499	9/1/98	Sampson, et al.			
	A13	5,809,483	9/15/98	Broka, et al.			
	A14	5,857,176	1/5/99	Ginsberg			
	A15	5,873,071	2/16/99	Ferrstenberg, et al.			
	A16	5,905,974	5/18/99	Fraser, et al.			
	A17	5,915,209	6/22/99	Lawrence			
	A18	5,924,082	7/13/99	Silverman, et al.			

FOREIGN PATENT DOCUMENTS

REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO
B1	0512702 A2	11/11/92	Europe				
B2	WO 99/19821	4/22/99	WIPO				
B3	0411748 A2	2/6/91	Europe				

OTHER DOCUMENTS (Include Author, Title, Date, Pertinent Pages, etc.)

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with the next communication to Applicant(s).

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	A19	5,924,083	7/13/99	Silverman, et al.			
	A20	5,963,923	10/5/99	Garber			
	A21	5,987,419	11/16/99	Hachino, et al.			
	A22	6,012,046	1/4/00	Lupien, et al.			
	A23	6,014,627	1/11/00	Togher, et al.			
	A24	6,014,643	1/11/00	Minton			
	A25	6,016,483	1/18/00	Rickard, et al.			
	A26	6,026,383	2/15/00	Ausubel			
	A27	6,058,379	5/2/00	Odom, et al.			

FOREIGN PATENT DOCUMENTS

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							YES	NO
	B4	0399850 B1	12/13/95	Europe				
	B5	0407026 B1	11/22/95	Europe				

OTHER DOCUMENTS (Include Author, Title, Date, Pertinent Pages, etc.)

C1	Schmerken, Ivy, <i>Banks Eye Forex Matching Systems</i> , Wall Street Computer Review, Vol. 9, No.2, P. 45.
C2	Wilson, John F., <i>On-Line International Cash Management</i> , Annual ACM Conference, 1983.
C3	Burman, Michael, <i>Aspects of a High-Volume Production Online Banking System</i> , IEEE Compcon, Spring of 1985.
C4	Sammer, Harald W., <i>Online Stock Trading Systems: Study of an Application</i> , IEEE Compcon, Spring of 1987.
C5	Clemons, E.K., et al., <i>Merrill Lynch Cash Management Account Financial Service: A Case Study in Strategic Information Systems</i> , 21 st Annual Hawaii International Conference on Systems Sciences, Vol. 4, 1988.

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OTHER DOCUMENTS (Include Author, Title, Date, Pertinent Pages, etc.)

C6	Finebaum, Murray L., <i>Information Systems in the Securities Industry</i> , 21 st Annual Hawaii International Conference on System Sciences, Vol. 4, 1988.
C7	Sager, M.T., <i>Competitive Alliances With Information Technology - The Australian Retail Banking Experience</i> , 22 nd Annual Hawaii International Conference on System Sciences, Vol. 4, 1989.
C8	Gutner, Tammi, <i>Fine If You're Big</i> , The Banker, October, 1988.
C9	Arend, Mark, <i>Swift Speeds Up As Broker/Dealers Join</i> , Wall Street Computer Review, January, 1989.
C10	Essinger, James, <i>ISE's 'SAEF' Debuts to Make the Market Sound</i> , Wall Street Computer Review, May, 1989.
C11	Freund, William C., <i>Electronic Trading and Linkages in International Equity Markets</i> , Financial Analysis Journal, May-June, 1989.
C12	Schmerken, Ivy, <i>High-Tech Banks Set to Challenge Wall Street</i> , Wall Street Computer Review, July, 1989.
C13	Arend, Mark, <i>Banks Lure Investors With High-Tech Convenience</i> , Wall Street Computer Review, December, 1989.
C14	Arend, Mark, <i>Where Wall Street's Tending In Trading Systems Design</i> , Wall Street Computer, June, 1990.
C15	Brennan, P.J., <i>OTC Trading Systems Lead In Race to Automate</i> , Wall Street Computer Review, November, 1990.
C16	Cody, B.J., <i>Reducing the Costs and Risks of Trading Foreign Exchange</i> , Wall Street Computer Review, November, 1990.
C17	Goodman, Ann, <i>The Moneyp: Mixing Men and Machines for Market Might</i> , Wall Street Computer Review, August, 1991.
C18	Heyman, D.P., <i>A Performance Model of the Credit Manager Algorithm</i> , Computer Networks and ISDN Systems, March, 1992.
C19	<i>Method For Collection of Accounting Data</i> , IBM Technical Disclosure Bulletin, 1986.
C20	<i>Banks Look to Build FX Order- Matching System Quotron Eyed as Vendor, Minex as Co-Sponsor?</i> , FX Week, May 17, 1991.
C21	<i>TST Interviews Evan Schulman</i> , Automated Trading Pioneer, Trading Systems Technology, July 15, 1991.
C22	Schmerken, Ivy, <i>Staying in the Middle:...Brokers Are Fighting to Keep Their Role in the Market; Includes Related Article on Crossing Networks</i> , Wall Street Computer Review, December, 1991.

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